Tender Specifications for Researcher records Management

OPEN INVITATION TO TENDER

Dear Sir / Madam,

The European University Institute, an international research organization established by a Convention dated 19/04/1972, ratified by Member States of the European Union, with the goal of providing academic training for doctoral degrees and post-doctoral research in the Social Sciences (http://www.eui.eu), is pleased to invite you to submit your tender in the open tender procedure for the above-mentioned supply of goods and services.

The tender procedure will be conducted according to the description contained in the attached Special Tender Specifications, and in conformity with the rules and regulations of the Institute itself (Decision 8/2009 of the High Council establishing the regulatory and financial provisions of the Institute and Decisions of the President 8/2010 and 19/2010, establishing the criteria for the awarding of tenders).

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TITLE I - GENERAL INFORMATION ON THE TENDER

Introduction

1. Preamble

The EUI will consider a product which supports Student record management that has already been implemented by at least 5 universities, and is customised to meet the specifications herein and which is either implemented or hosted on premise.
During the implementation phase the system may be hosted remotely.

2. Objective

a) Researcher Records Management is at the core of the EUI's day-to-day business. These records provide preliminary evidence that researchers attended the EUI, met the requirements and graduated at a given date, within a given time period. The Researcher records give administrative staff immediate access to information on the status of a given researcher, his/her contact details etc.
Given the reliance on these records and the growing need to provide user-friendly and broader but managed access to different facets of the data, statistics and reports, the need to improve operational efficiencies by supporting the Academic Service and departmental management of Researcher records, the need to add new functionality, modules and integration with other systems, the EUI has launched this tender to replace their current Researcher Record Management application.
The expectation is to acquire a powerful Researcher Record management system to manage the entire cycle and facets of Researcher records, which is flexible enough to support the changes to Institute Programme rules and regulations.
In addition to the overall management of information on Researchers the proposed solution should also enable the management of information on Academic Programmes and calendar.
In addition to this the EUI wishes to:
   1. Create a decision support system for management.
   2. Add new functionality such as seminar and course management, automation such as customisable alerts and workflows
   3. Improve integration with other systems such as CPR (Central Person Registry) and the CRM (Customer Relationship Management)
   4. Increase Researcher satisfaction by responding more efficiently to their needs, providing them access to their data through a customised portal. Researchers want to be treated as individuals; the need for more immediate personalized communication is essential
   5. Streamline the recruitment effort.

b) The EUI plays a pioneering role in the field of doctoral education, and will contribute, as part of this project, to being a point of reference for mapping a new postgraduate (from MA to post-doc) management model through the customisation of a researcher (student/post-doc) management system. It will reflect current best practice within Europe and beyond, based on 30 years of experience.

This management system, based on the EUI's experience, will provide a model that will therefore be attractive to other universities developing postgraduate activities. The company in its offer should take the EUI input into consideration and shall describe what favourable conditions, if any, it will apply. It shall further describe how it will work with the EUI in a partnership rather than a strictly customer-supplier relationship.

3. Background

The EUI currently maintains the Researcher records in an ORACLE database with a purpose built client based application, and produces reports written with Crystal reports. The client application has become more difficult to support with the latest versions and service packs of the staff workstations. The main table structure was ported from flat files from an older system in the year 2000; as the functionality of the client application has grown, so also has the database, this has evolved without any serious revision of the original table structure. The database has therefore grown along with increased redundancy and inefficiency. While it has been possible to make some improvements and eliminate some redundancy, the possibility for growth using the current database structure and technically outdated application is no longer cost effective.

The current system has also a separately built online applications/recruitment module, with an online consultation interface to the applications submitted by the candidates. The main client application gives access to edit candidate and application data and to export data for the applications to PDF and paper format.

The current Researcher Record management application is integrated in part with the CPR (Central person registry) application..

Article 1 - Definitions

"Company" shall mean the Company that is awarded the tender, and to which the provision of the services described in the Tender Specifications is entrusted.
"Contracting Authority" and "Purchaser" shall mean the European University Institute, which entrusts to the Company the provision of the services described in the Tender Specifications.

Article 2 – Duration of the contract

With the exception of events described in Articles 14, 15, 16 and 17 on page 69, all software and services described herein shall be delivered no later than 18 months from the date of signing of the contract. Maintenance and support services, which shall be quoted as part of the offer, shall continue for a minimum of 2 years after the implementation. All costs will be included in the economic offer.

During the first 6 (six) months of implementation the Contracting Authority can – with clear motivation – rescind the contract; a 30 (thirty) day notice of termination shall be sent by registered letter with acknowledgement of receipt.

Article 3 – Presumed amount of the tender

The overall presumed value of the tender is estimated at € 200,000.00 excluding VAT.
This shall be used merely to determine the presumed overall value of the tender and in no way commits the Contracting Authority to award a tender for the entire above-mentioned total sum.

Article 4 - Procedure for submitting an offer

All documentation relating to the tender (documents, administrative and technical reports, declarations, communication of any type, as well as any and all materials the Company shall be required to produce within the procedure including proposals) shall be written in **English.**
Offers must be submitted in English no later than 18 June 2012.

The offer must be submitted in three copies (one original and two clearly distinguishable photocopies) to the following address:

ISTITUTO UNIVERSITARIO EUROPEO
Ufficio del Protocollo
Via dei Roccettini, n. 9
50014 San Domenico di Fiesole (FI)

and be contained in a perfectly sealed envelope (if self-adhesive envelopes are used, they must be sealed with adhesive tape), and signed across the sealing tape. Failure to present offers in such a sealed envelope will warrant exclusion from the tender procedure. Offers submitted must be sent exclusively via overnight courier or hand-delivered to our “Ufficio Protocollo” (incoming mail registration service) on weekdays (Mon – Fri) during working hours (8.30 am - 1 pm and 2 pm – 5 pm) <u>no later than 12noon on 18 June 2012</u> (absolute deadline). If sent by courier, the date of the courier's deposit slip must meet the deadline.
Tenderers are required to notify the Institute by e-mail - to EUI.TenderB@EUI.eu - that their offer has been sent. The Institute shall acknowledge receipt of the e-mail.
In addition to sender and addressee, the outside of the envelope must also state:

“Tender for Researcher Records Management”
The outer envelope must – on pain of exclusion - contain three envelopes, as follows:

A) A first sealed envelope (if self-sealing, it must also be sealed with adhesive tape) and signed across the sealing tape, bearing on the outside the name of the Company and the words: “Envelope no. 1 – Administrative documents”; it shall contain in three copies (one original and two photocopies distinguishable from the original), on pain of exclusion, the following documents:
Declaration Concerning exclusion criteria – Annex I

Declaration regarding Disputes – Annex II
Information about the Company
A list and contact details of 5 (five) Universities currently using the Company's proposed product.
The Company must declare which, if any, of the information elements provided in the context of the offer submitted are technical and commercial secrets, therefore to be considered confidential.

B) A second sealed envelope (if self-sealing, it must also be sealed with adhesive tape) and signed across the sealing tape, bearing on the outside the name of the Company and the words: "Envelope no. 2 – Technical Offer"; it shall contain in three copies (one original and two photocopies distinguishable from the original) all the documentation necessary to identify the technical characteristics and any additional conditions offered.
The Technical Offer must be signed by the Company's Legal representative and must include:

- A Technical description which must be drawn up according to the structure of the Technical specifications
- A Project plan proposal for the services that are the object of this tender, of staff planning (quantity/hours) and of the use of resources on a weekly basis, highlighting on-site service activities and remote service activities.
- A sample SLA, providing details of proposed SLA.
- Annexes I, II, III, IV, V completed and signed.

The Company must declare which, if any, of the information elements provided in the context of the offer submitted are technical and commercial secrets, therefore to be considered confidential.

C) A third sealed envelope (if self-sealing, it must also be sealed with adhesive tape) and signed across the sealing tape, bearing on the outside the name of the Company and the words: "Envelope no. 3 – Economic Offer"; it shall contain in three copies (one original and two photocopies distinguishable from the original) the economic offer drawn up on the forms provided with each sheet signed by the Legal representative of the bidding Company.
Economic offer -The costs must be submitted on the Table in Annex III.
All prices must be quoted excluding VAT.

Note: Information and assistance on the tender documentation can be requested exclusively by fax at +39 055 4685205 or by e-mail sent to EUI.TenderB@EUI.eu no later than 12 noon on 14 June 2012 . If queries are received in a timely manner, replies will be published on the website http://www.eui.eu/About/Tenders.aspx.
Information published on the website of the Institute shall be considered notification to all Companies.

Article 5 - Period of validity of offers

Tenderers must keep their offer open, in respect of all the conditions therein, for a period of 6 months after the deadline for the submission of offers.

Signed in acceptance by the Legal Representative

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The EUI's contractual obligation commences only upon signature of the contract with the successful Tenderer. Up to the point of signature, the authorizing officer may either abandon the tender or cancel the award procedure, without the candidates or Tenderers being entitled to claim any compensation. The Tenderer will be informed in such case.

Article 6 - Selection criteria

3.1 Exclusion criteria
"Exclusion criteria" are general criteria related to legal and financial requirements stated in the tender documentation. Exclusion criteria are eliminatory (see Annex).
3.2 Selection criteria
"Selection criteria" relate to the acceptance of the minimum requirements by tenderer as stated in the specifications in this document. Selection criteria are eliminatory.
3.3 Award criteria
"Award criteria" take into account both the technical and economic proposals submitted. Award criteria are specified in Annex.
The award criteria will be the basis for the ranking of suppliers.

Article 7 - Evaluation procedure

Proposals will be assessed first according to the Exclusion criteria. Proposals which do not meet the Selection criteria will also be eliminated. It is important that all required information be supplied and attention be paid to the required procedures.

The detailed evaluation criteria are described in Annex VIII.

Article 8 - Awarding contract

The tender will be awarded according to the principle of "the best value for money", based on the evaluation performed by the Institute's internal committee (Advisory Committee on Purchases and Markets).

Provisional awarding
The European University Institute will communicate with the company that has submitted the "best value for money" offer to make a provisional awarding.
Before the final decision on awarding the contract, if the technical and/or Administrative personnel of the European University Institute establish that the proposal does not conform to the technical or Economic specifications, the tender will be declared null and void.

Awarding contract
The company provisionally awarded with the contract will work 2 (two) weeks on site with the Administrative and technical staff of the EUI. During this period the supply and maintenance contracts will be signed based on Economic proposal and project plan.

Article 9 – Breach of contract and penalties

Except for cases in which the law specifies otherwise, the Contracting Authority shall uphold compliance with the clauses agreed in these Tender Specifications by reserving the right to apply the following penalties, over and above reimbursement for any expenses incurred in ensuring that its activity could continue effectively and regularly:

Delayed delivery of any deliverable based on signed project plan for causes attributable to the Contracting Authority, the Company shall be charged a penalty of € 500.00 (five hundred/00) per working day of delay for more than 2 (two) working weeks.

For non-compliance with agreed support/maintenance time schedules, as defined by the Service Level Agreement, the Company will be charged a penalty of € 100.00 (one hundred/00) a day for each working day of delay.

The above-mentioned penalties shall be issued under the form of debit notes and deducted directly from the agreed payment.

The application and/or payment of penalties in no way exonerates the Company from fully complying with the obligation it had breached.

TITLE II - TECHNICAL SPECIFICATIONS

SECTION I - PROJECT DESCRIPTION

Overview of required application/functionality

The product proposed shall manage the details of programmes and researchers as defined in Section II – X here below. The most complex programme to manage is the Doctoral programme, and approximately 80% of researchers at any one time are affiliated with this programme. Details necessary to manage programmes and researchers are described herein.

The application will be made up of five main areas:

- Application administration
- Online applications, selection and registration
- Researcher record management
- Portal
- Alumni management

The application administration area is used to define parameters and attributes that are used throughout the application; it will include the following modules: Role definition, User access management, Alerts and workflow management, Access and change tracking, Programme Department, Status and Progress definition.

Online applications, selection and registration deals with candidate applications, the evaluation and selection of candidates and the initial registration of researchers.

The Researcher record management area is used to consult and edit all details relating to the researcher; it will include: Personal details management, Contact details, Status management, Academic record management, Grants, Reporting and Statistics.

The portal shall be an interactive tool which will give researchers access to update certain person details, contact information, make requests, print certificates, online registration for seminars and events, view progress and deadlines. The portal shall also be available to members of the Alumni association in the form of an online community.

Alumni management allows the alumni officers to keep in contact with Alumni and the Alumni association for ceremonies and Events.

Each of these modules is described in detail in the sections below.

The Company shall clarify work procedures with Academic Service and departments during a 2 week on-site work visit.

SECTION II - DEFINITIONS

EUI applications

<u>Anagenesis</u>
Anagenesis is the name of the client application used currently to manage researcher records, this connects to an ORACLE DB.

<u>Contensis</u>
Contensis is the EUI's web content management system. This runs on an SQL server DB.

<u>CPR</u>
CPR is the EUI's central person registry; the system which allows the EUI to uniquely identify its members and Alumni. This application runs on an ORACLE environment.

<u>CRM</u>
VOCUS Is the Customer Relationship Management system that the EUI has recently acquired. This application runs on a hosted platform.

<u>Dolphin</u>
Is the application currently being implemented to manage Personnel (Administrative staff, Faculty, short term and longer term contracts, certain types of Fellows etc.). The system runs on an ORACLE DB.

<u>DSpace</u>
The EUI uses DSpace as its open access research repository, it contains the publications of EUI members. It runs on an ORACLE database.

<u>Events</u>
Events is the application which manages logistics data relating to the organisation of events at the Institute and the creation of calendars and timetables. This application runs on an ORACLE database.

<u>GPWIN</u>
Is the old application used to manage Personnel. The system runs on an ORACLE DB.

<u>Library management system</u>
The EUI currently uses Innovative's millennium library system.

<u>SUCRE</u>

SUCRE is the name of the EUI's accounting application. The EUI will acquire a new financial and accounting system in 2012 in hosting at the European Council to be put in production in 2013-2014.

People at the EUI

Alumnus
An Alumnus is defined as any researcher who has completed one year in the Doctoral, Masters or LL.M programmes, but is no longer part of these programmes.

Exchange student
The exchange student will apply to the Institute in the framework of an existing co-operation agreement (departmental or institutional). Once admitted he or she is affiliated to a department for a length of time established between the EUI and the partner institute.
Exchange agreements exist a) under the European ERASMUS banner (and therefore with certain European universities) b) under Institutional/University agreements with U.S. universities c) under formal bilateral, departmental agreements with universities worldwide.

The admission of a student from an exchange university to the EUI implies that an EUI student will be able to participate in a similar programme at the partner university.

Financial conditions for the exchange students may vary with respect to those for visiting students, though the principle is the same: they will be responsible for procuring the funds for their maintenance during registration at EUI, so, with the exception of a few students, they are not entitled to finance from EUI (those entitled to finance receive it because of specific conditions in the exchange agreement existing between EUI and the partner university).

Fellow
An EUI Fellow is a researcher (usually post-doctoral) who may or may not be part of a post-doctoral programme. Those who are not part of a post-doctoral programme are usually referred to as Visiting Fellows.

Researcher
At the EUI a researcher refers to a research student that is part of the masters or doctoral programme. A researcher may be associated with only one programme at any given time. Every researcher has his/her own unique ID.
Note: In this document any person following an Academic programme or any short term Academic Visitor may be referred to as a researcher.

Researcher Representative

Researcher representatives are elected from amongst the Doctoral student body by the research students during the first term of each academic year. They represent the research students at various levels at the Institute, sitting on various committees (e.g. the above-mentioned Admissions Committee, the Executive Committee). The student representation on committees can vary, with just one rep on one committee, but four or five on others e.g. the Doctoral Programme Committee.

There are 16 “reps” per annum, 4 per department, with a one year mandate.

Account is taken of the extra work they put in on behalf of the student body, and at the end of their third year (or during their fourth year) for every year of representation, they are entitled to an extra month’s grant and to a one month extension of their research student status, meaning submission deadlines at the end of the third year and during the fourth year are extended.

Summer school students

Summer school students are participants of the AEL or AEH. These may be EUI members or external persons.

Visiting Students

The status of "Visiting Student" may be given by the Institute to a postgraduate student registered in a similar postgraduate programme at another university or institute, when s/he wishes to visit the EUI for a short period of time in order to pursue her/his research. The student, once registered as a Visiting Student at the EUI, will be a non-degree student. They have to be affiliated to one of the Institute’s departments, for which specific application measures apply.

The normal duration of a Visiting Student’s stay will be from 1 to 6 months, in no case may it exceed a full academic session. Longer visits of more than 6 months are to be approved by Admissions Committee.

In terms of academic status, they are considered much the same as EUI research students.

Organisation

Academic Council

The Academic Council has general powers with regard to research and teaching at the European University Institute and lays down the rules that govern the Institute's academic life. The Academic Council is chaired by the President. Its other members are all the professors, representatives of the research fellows, research associates and researchers, administrative staff and the Librarian.

Academic Service

The Academic service manages researcher and Chair recruitment, Admissions and researcher records and Alumni. The Academic service is the principal client of the researcher record management system.

Academic Department
There are four Academic departments: Economics, History and Civilisation, Law and Political and Social Science. They will be referred in this document using their abbreviations: ECO, HEC, LAW and SPS respectively.

Admissions committee
This is a sub-committee of the Institute's 'Academic Council'; it is made up of one member of faculty per department, a researcher representative, the Dean of Studies (Chair). The Academic Service and Dean of Studies' secretariat prepare papers meetings and letters (of admission, leave of absence etc,) for and after Admissions Committee meetings.
The committee decides on all matters relating to the admission of students a) to the Institute b) to the successive year of the doctoral programme as well as other aspects of the researcher's progress while at the EUI, including special permission for absences (e.g. research absences without suspending grant, medical absences with or without suspension of grant). It meets generally 5 times per year.

Alumni Association
The Alumni Association of the EUI was established to promote and reinforce contacts, mutual assistance and information exchange between its Members. The Alumni Association conducts its affairs through the Alumni Association's General Assembly, the EUI's executive committee, the President and sub-committees when necessary. Any researcher or staff member may become a member of the Alumni Association having been a member of the EUI for at least one year. A researcher can become a full member; however a Staff member may only become an associate member.

Executive committee
The Executive Committee (also a sub-committee of Academic Council) is the committee that handles the daily running of the Institute; it also prepares the documents that are submitted to the Academic Council.
Members of the Executive Committee are: The President (chair) and the Secretary of the Institute, the heads of the four departments, the director of the Robert Schuman Centre for Advanced Studies, and one general representative of the researchers and a representative of the Alumni Association.

Research Centres
There are three principal research centres: Robert Schuman Centre for Advanced Studies (RSCAS), the Max Weber Programme (MWP) and Academy of European Law (AEL). These research centres run any number of research projects and offer Fellowships and Summer schools.

Researcher Representation

The researcher representation represents the research students at various levels at the Institute, sitting on various committees (e.g. the above-mentioned Admissions Committee, the Executive Committee). The student representation on committees can vary, with just one rep on one committee, but four or five on others e.g. the Doctoral Programme Committee.

There are 16 “reps” per annum, 4 per department, with a one year mandate.

Academic Programmes/courses

A programme is a course of study or research. A programme can be of different types:

- Doctoral programmes (referred to as DOC)
- Post-Doctoral Programmes(or Fellowships) (referred to as FEL)
- Master Programme (referred to as MAS or MP)
- Exchange students programmes (referred to as EXC)

Some programmes have a clear course, schedule, progress plan, deliverables and funding scheme, other programmes will have funding but may have varying deliverables.

Doctoral Programmes

There are currently 4 doctoral programmes, one in each Academic department (ECO, HEC, LAW and SPS)

Language courses

Language courses are run by the language centre. Successful completion of an English language course may be a condition of a researcher’s admission to the following year of the programme.

Post-Doctoral Programmes/ Fellowships

A fellowship refers to the position occupied by post-doctoral researchers at the EUI, who are not EUI Professors. A term of office of a fellowship is normally from 3 – 12 months, but may be 24 months. A fellowship usually refers to a funded position and is normally part of a post-doctoral programme that has a set of deliverables. Although there are others, the main post-doctoral programmes are:

- Jean Monnet affiliated with the Robert Schuman Centre,
- Max Weber affiliated with the Max Weber Programme and the four academic departments,
- Fernand Braudel Fellows affiliated with all four departments.

Master programme

There are currently two Masters programmes; one in LAW (LL.M) and one in ECO.

Summer School

At present there are two summer schools:

- the Academy of European Law(referred to as AEL in this document)
- the Academy of History (referred to as AEH in this document)

Note that summer schools are not considered programmes, but more like supplementary courses that may be followed by internal or external EUI members. Competition for acceptance on the summer school works similarly to the Fellowship competitions, although some EUI members may be accepted "automatically".

Other terms

Absence/Intermission of a researcher

A researcher may for many number of reasons request permission to be absent from the Academic programme, and be given an intermission, or be considered absent. Fore example a maximum of 18 months intermission may be taken from the Doctoral programme.

Absences are important to be registered also for legal purposes, for the production of access cards, certificates to state that a researcher is exempt from military service etc.

Affiliation

Affiliation refers to the researcher – programme relationship. Researchers can be affiliated to one programme only. A summer school is not considered a programme.

Archive

Any historical data associated with a Candidate or researcher.

Awards

The EUI awards:

- A PhD to doctoral researchers successfully completing the programme and defending their thesis.
- An LL.M (Master of Laws) to researchers who successfully complete a) the one year LL.M programme after defence of a thesis and b) the first year of the Doctoral Programme.
- An M.Res degree (Master of Research) is awarded to all doctoral researchers successfully completing the first year of the doctoral programme in the ECO, HEC and SPS departments. In certain circumstances, the M.Res Degree may also be awarded to doctoral researchers who, though not having made sufficient progress during the first year to be admitted to the second year of the programme, have passed a minimum number of exams/have met the minimum requirements set by their department for the award of the Master of Research.
- An MA (Master of Arts) in European Economics will be given to those researchers successfully completing the Economics one year master programme.

Conferring ceremony

The awards ceremony takes place once a year. Any researcher who has successfully defended his/her Doctoral or LL.M thesis, who has not already received his/her award, is invited to be officially awarded his degree.

Doctoral researcher status

Every doctoral researcher is assigned a status relative to the date he/she started the Doctoral programme, and the cumulative time of intermissions. These statuses are 1st, 2nd, 3rd, 4th and 5th year. The status of the researcher may be suspended due to permitted intermissions; for this reason, the status of many researchers may be reviewed as frequently as on a monthly basis.

Facility and assistance entitlement

Grant Authority

A Grant Authority is any Institution/Body that provides a grant to a researcher. The Grant authority is frequently part of a European Country's Education or Research Ministry, but may be a private company. A researcher over the course of his/her studies may receive a grant from more than one authority. A researcher normally has one grant authority associated with his/her funding at any one time; however he/she may have more than one.

Researchers' Guide

The Researchers' Guide is a yearly publication by department which provides information on the departmental graduate programmes including calendar, course requirements, supervision, list of Faculty, Fellows etc.. As an example the Law guide can be found: http://www.eui.eu/Documents/DepartmentsCentres/Law/RulesAndForms/LawGuide2011-12.pdf

Research Assistantship

An EUI doctoral researcher may be appointed as a research assistant to a specific departmental or institutional project, under the supervision of a project director.
The amount of time the assistant devotes to the job is measured in thirtieths (one thirtieth is equivalent to one day in a month); the salary is calculated accordingly.
Where the research assistant is appointed on a scale greater than 7/30 (or 1/4 time), his/her grant and researcher status is usually interrupted for the duration of the research assistant contract.
Where the research assistant is appointed on a scale less than 7/30, he/she usually maintains his/her grant for the duration of the contract and does not benefit from an interruption of student status.
The more substantial research assistantships (over 7/30) may be carried out by (a) researchers who are in their third year of registration, (b) fourth-year researchers who have submitted the final draft of their thesis, and (c) fourth- and fifth-year researchers who are not in receipt of an EUI grant.

Research assistantship posts are currently managed by the Personnel department.

Small Jobs

Small jobs may be carried out by all categories of research students, including first and second year students, without interruption of grant or suspension of registration, they are paid on an hourly basis up to 150 hours per academic year. This type of work is normally administrative in nature.

Small jobs are currently managed by the Financial and Personnel Units through the current Academic records application (Anagenesis).

Status

Although the current overall status for a researcher is either present, absent or terminated. The Status such as 1st year, 2nd year, suspended etc., is important for Doctoral researchers as they remain for more than one academic year and status is usually assigned for one academic year.

History of status is also important. Status is also relative to the Academic Programme. It shall be possible to see also the history for status for previous academic programmes.

See http://www.eui.eu/Documents/ServicesAdmin/DeanOfStudies/EUI-RulesRegs.pdf for further information on Academic Rules.

SECTION III - ENVIRONMENT & DESIGN CONSTRAINTS

1. Introduction

The following points describe the architecture and general application requirements the proposed product should meet in order to be considered.

The application shall support the approximate 80 administrative users and the researcher community of approximate 800 persons with current status. The application shall also provide instant access to historic data of approximately 6000 researcher records.

The architecture of the product proposed will be assessed from a cost and quality perspective. Quality will be assessed in terms of maintainability, reliability, redundancy and security.

2. Database

The database shall be a normalized relational database structure. ORACLE 11 is the preferred database engine. ORACLE 10 or greater or SQL server 2008 or greater will be considered. All other database engines will be excluded. The Company shall include detailed specifications for the Database definition and the optimal or required database environment (Database size and memory allocation), for example if the application has to run in its own instance.

3. Development environment

Certain functionality will become necessary in time and with use. It shall therefore be possible to add short-cut functions and batch processing to the application after the implementation has been implemented which run backend processes and which can be accessed by defined users.

The system's architecture shall be well structured and clear, preferring a Service Oriented Architecture. The system must be based on one database backend.

We prefer the Company to have full knowledge of the product they propose, being either the product owner and developer or a certified reseller and implementer.

If an API is available, documentation shall be provided and it should be specified in what language. If access to the APIs carry additional costs this shall be detailed in the Company's Economic offer.

The Company shall describe the applications development environment in detail.

4. Application server/environment

The application and database servers shall run in a virtual server environment.

The Company will indicate what server operating systems the application supports and which is the most commonly used by the customer base. The Company shall describe the server environment in detail necessary to run the application.

The Company will indicate what space, processor and memory resources are required to support the application.

The proposed server and client solution shall be indicated clearly in the architecture map.

If the web server or any other server environment has additional costs, the Company shall detail this in the Economic proposal.

5. Application platform

The administrators' application should run independently of the user's operating system.

The Company will specify what operating systems its application runs on and what underlying packages if any have to be installed on the user's PC and if there are additional costs associated with this.

6. Support for standards

The application shall

- support accented characters and non-Western European character-sets. This means for display, sort and search functionality.

- Use ActiveDirectory/LDAP authentication for the main user interface..
- The application should use standard ISO Country, Currency and Language codes.
- Any Web-page displayed must respect W3C standard and pass the W3C validation test successfully.(http://validator.w3.org/)
- Web-pages displayed must be cross-browser (all versions of Chrome, Firefox, Internet Explorer, Opera available after 2010 and at time of signing of contract)

Any other standards used within the application will be described by the Company.

7. Back-up procedures

The Company shall describe a back-up and recovery solution. Considering we currently store approximately 7000 researchers on record, growing by approximately 400 per year. There are 2500 candidates per year with 2 GIG of application data/year to be maintained for up to 4 years, but statistics regarding candidates must be available from 2004 when online applications began.

8. Mailing

The Company will describe what system it uses for sending email through the application and what experience if any it has integrating emailing through the application with email servers in the cloud. Emailing through the application shall be logged.

9. Authentication and user access

Users of the main application and portal will use LDAP to authenticate. The EUI uses Microsoft Active Directory.
Access rights shall be managed through the application, however it is an advantage if the initial setup of the approximate 80 users is possible by script. See the section on User Management for more information.

Access via login to the application will be logged.

The Company will describe the authentication and user access logging, use of any standards for example single-sign on, shall be indicated in the description.

10. Integration with other EUI applications

The Researcher record management system shall be integrated with the following applications:

- 10.1 Contensis: the WCMS shall be fed by the Researcher record management system with data regarding Researchers for the EUI persons directory.
- 10.2 CPR: The researcher record management system will feed the CPR system with unique person records with current academic status.
- 10.3 Events: The researcher record management system shall remain in sync with the Events application.
- 10.4 Dolphin: The Researcher record management system shall read the list of Professors and research assistantship contracts from the personnel management system Dolphin.
- 10.5 Accounting system: the researchers bank details and statement of payments will be made available via the administrators interface.
- 10.6 DSpace: The EUI's open access research repository. The list of publications available via DSpace for the researcher will be visible via the portal.
- 10.7 Library management system: the researcher record management system will visualise active loans and fines per researcher.

See section IX for more information on integration.

11. Security

Researcher records contain private and sensitive data; it is required that the database owner login and password is not needed to carry out any administrative tasks and the application does not use this login to connect to the database.

The Company shall describe the security features of the proposed solution including encryption and logging.

12. Application Error management

The application shall manage errors in a systematic way. The application must avoid SQL or system errors being displayed on the user interface and give meaningful errors to the user. Errors should be logged centrally.

The Company shall describe how the application will manage errors.

13. Usability

From every screen it should be possible to print what is visible in a print friendly format. From every screen with lists of researchers it shall be possible to select a group of researchers by filter or by checkboxes or both and carry out an action on these records, it could be a global update to status, or actions such as create/print certificate, email, email merge, merge to letter in word using either predefined templates/reports or using something created ad hoc at the time of the selection. Each of these actions shall be logged. It should be possible to retrace from a log record to which group of researchers the logged action is related to.

14. Data Migration

The Company will assist the EUI with Data migration by providing detailed information regarding the database schema including an ER diagram. See appendix VIII for core ER diagram of current database schema.

SECTION IV - APPLICATION ADMINISTRATION

The application Administration modules and functions are defined below.

1. Researcher group/affiliation Management

Researchers groups will depend principally on Programme affiliation and status. A researcher or defined group of Researchers can belong to more than one group.

Example of Groups:
1st year Doctoral Researcher in ECO – All ECO Doctoral Researchers with a 1st year status
All Doctoral Researchers – includes All Doctoral Researchers regardless of status in the ECO, HEC, LAW and SPS departments
All Researcher with a 1st year status – includes all 1st year Doctoral Researchers in the ECO, HEC, LAW and SPS departments.

Default groups will be created on the basis of Programme affiliation and/or status. The system should enable administrators to filter/view and manage groups easily. The Researchers group affiliation should be clearly visible when the researcher is listed/selected.

It shall be possible to create new groups and add existing groups or single Researchers. The rights to view and edit Researchers' records are based on these groups.

The management of groups of candidates needs to be considered, but may or may not be considered together with groups of researchers.

2. Role Management

Access rights will be managed with roles. A role will be defined through the application's administrative area. A role is set of predefined access rights to different types of data per group. Users of the system will be assigned one or more role, the role with greater rights will over-ride the one with lesser rights.

Access to function and modules will be granular and defined for each role. Access will be defined for Application administration operations and for Researcher Record Management either:

- Per module/function (Role edition, User access management, Programme, Department, Progress and workflow definition, Personal details, contact info, progress record etc.) and group of researchers. That is for every module for a given group it will be possible to assign read, write and delete access rights.
- Or based on sensitivity of data, whereby all data within a module is labelled either “public”, “non-sensitive”, “private”, “sensitive” or “confidential” and group of researchers. For every level of sensitivity for a given group of researchers it would be possible to assign read, write and delete access rights.

In order to facilitate system management, the system should present and allow editing of the various access rights and roles as follows:

- By listing roles and their associated access rights by group and module clearly (for example in one screen which also allows editing).
- By listing group and modules/functions and the associated roles and the roles' access rights (for example one screen which also allows editing)

There will be three main predefined roles which would be available as basic templates for creating new roles:

- Application Administrators
- Record administrators
- Record viewers

To facilitate administration of access rights it will be possible to duplicate existing role definitions that can then be modified.

The company shall describe how the application can achieve the following scenarios:

<u>Scenario I</u>
A user with administrative privileges wants to create a new role to be assigned to users who will have read only access to consult the all researcher records for the Economics Department.

<u>Scenario II</u>
A user with administrative privileges wants to create a new role to be assigned to users with similar access rights as “Law Department Assistant” role.

The Company shall describe how the application role management works and provide screenshots of the system.

3. User access Management

Usernames and passwords shall be read with an AD/LDAP lookup. Through the Application Administration interface it will be possible to assign a username with a defined role.

The company shall describe how the application can achieve the following scenarios:

Scenario I

A user with administrative privileges to create a user wants to add a new user with an "Economics departmental assistant" role.

Scenario II

A user with administrative privileges wishes to change the role currently assigned a user.

Scenario III

A user with administrative privileges wishes to add 10 users to a newly created role called "Academic Review Group".

For every update to the user access management records, a record will be written to the tracking log with date, time, actor's username, action, username, role assigned/removed.

The Company will describe the module/function, group and role management in detail and provide screen shots of their system.

4. Alerts/Workflow management

A workflow module will exist that will allow the EUI to automate the flow of information from one office to another within the EUI. The Academic service, administrators, and faculty will have access to workflows and be able to create and alter complete flows through the standard application.

It will be possible to allow certain events to trigger user notifications, business process logic, external or internal emails, and automated activities. It will be possible to design and edit workflows through a graphical interface, to adapt to changing rules and needs.

The Company shall describe how the application can achieve the following scenario:

Scenario

A user with administrative privileges to workflow wishes an email to be sent to a given email address, when a Thesis submission date is changed, for Researchers on the Law Programme group.

Additional sample scenarios:

- send an email to Researcher when a deadline is in sight
- send an email to another/defined email address when deadlines for defined group of Researchers is in sight
- Send an email to a group of people on a regular basis with list of persons with expiring status
- Send an email to another/defined email address when a progress requirement has not been met (deadline has expired)
- An automatic message is be sent to the grant and paying officers that the installment of, for example, the 4th year is about to expire one month in advance.

Ideal requirements for workflow:

- Possibility to add/remove steps. Moving from one step to another can be triggered either when a specific condition is reached for the record (date, status changed) or through a human action (a record administrator click "move to next step or validate" in a module.
- Possibility on each step
    i. To add one or more alert on certain type of events
    ii. To create a report and send it to somebody
- To create conditional steps (if A then go to step X if B then go to step Y)
- To create a loop on a step till a specific condition is reached.

The Company will describe in detail the type of functionality that will be made available through the administrative interface of the application to facilitate alerts and workflow.

5. Access and change tracking logs

To support administration, privacy and workflow processes certain actions within the application will be logged. It shall be possible to define what should be tracked and logged through the application interface. This type of function would be available to application administrators only, as defined in the user access.

Access to the application and modules will be logged.

For the following actions, Username, Researcher record number (if appropriate), module, day, time, old and new values for the following data:

- Changes to role definitions
- Changes to access rights
- Changes to personal details (any field)
- Changes to Academic record (For example: Change to Supervisor, Thesis title, thesis language, thesis submission date)

- Changes to Progress decisions

It shall be possible to access, add or remove tracking and logs of certain actions through the main application depending on access rights.

The company shall describe how the application can achieve the following scenarios:

Scenario I
A user with administrative privileges wishes to add a tracking log when are new user is created.

Scenario II
A user with administrative privileges wishes to add a tracking log when a supervisor is assigned to a thesis or when the supervisor is changed.

The Company will describe how the application manages access and change tracking logs.

6. Annotations and logs

This is similar to the change tracking log. Certain actions linked to a Student will generate an annotation. These annotations will make up part of the Researcher record and by default are visible via the Researchers' portal. It shall however be possible to set an annotation to be private.
It would be useful if these automatic annotations were configurable through the interface.

7. Department Definition

It will be possible to add, edit and delete departments through the main administrative interface. A department will have at the EUI's three character unique id, a short name, long name and description.

At present there are 4 academic departments and three Research centres: Law, History, Economics and Political and Social Science departments and the Robert Schuman centre, Max Weber Programme and Academy of European Law. It shall be possible to add new departments or centres.

8. Programme Definition

It will be possible to add new programmes through the administrative interface.
An example of programmes are as follows: Doctoral Programme in Economics, History and Civilisation, Law and Political and Social Science, LL.M, Master in Economics, Max Weber Fellowship, Jean Monnet Fellowship, Fernand Braudel Fellowship.

Although many of the attributes of programmes are the same, we must consider that each programme has its own set of attributes. The attributes of the Programme as the following:

Entry requirements:	The entry requirements differ from programme to programme.
Progress requirements:	A number of deliverables shall be set for a programme. Progress is described in more detail below as part of the Academic record.
Length of programme:	The length of the programme can be fixed or variable
Departmental affiliation:	All programmes are affiliated with at least one department.
Funding:	Funding is normally associated directly with the Researcher/Fellows, and this is described in more detail below, however it should be noted here that in some cases funding may be related directly to the Programme.

9. Supervisors and advisers

A thesis, a submitted paper, part of thesis, an exam will have a number of People associated with it, one or more of these people may be EUI faculty, one or more of these people will be external. It shall be possible to add/modify Persons in this list.

The Company shall propose how this list shall be populated and maintained. See the section on integration for more information.

10. Supervisor and Jury member role definition

The following roles are associated with the thesis supervision and defence, paper correction, course instructor: Supervisor, Co-Supervisor, Adviser, External Supervisor, Jury member, corrector, reader, 2nd reader, 3rd reader.

It shall be possible to add new roles of People.

11. Status Definition

Main status and sub-status definition: Present, Absent, Alumnus are main statuses. 1st year, 2nd year, etc are sub-statuses. Sub-status only refers to some programmes. It shall be possible to edit statuses and add new statuses.

The Company shall describe how the application manages statuses.

12. Grading Definition

It shall be possible to add different grading systems. A grade can be expressed in percentage, letters, out of 10, out of 30 etc, or simply a pass or fail, each grade shall correspond to a percentage and hence to either a pass, fail, distinction etc.

13. Progress Definition (implementing rules)

The most significant part of the academic record is the progress record. This record determines passage from one year the next, the continuation of the grant, and the awarding of the eventual degree (principally the PhD, but also refers to Master degree, see awards for more information).

The rules of passage/progress are determined by the Departments and the Admissions Committee, and are subject to change. The rules of passage depend on programme affiliation and current year/status. Having acquired the credits/fulfilled the criteria, the researcher automatically passes to the next year, although it is possible to over-ride this decision.

At present the current requirements/progress criteria are a combination of: term papers, exams, mandatory seminar attendance, end of year paper, part of thesis submitted, Supervision assessment survey, other event attendance, summer school etc. Only some of these apply to any programme/status. Each of the criteria carries its own credits.

In the programme administration interface there shall be a progress criteria insertion interface where the criteria is given: Name, description, date of validity, minimum grade/credits, graded in (Yes/No, Pass Fail, ABCDEFNG, %, 1,2.1, 2.2 pass etc.), delivery date and associated with a programme and status. Some of these progress criteria can be a summary record relating to exam results, paper submissions or seminar series attendance, others will be a simple criteria record for example 'Supervision Assessment Survey'.

Example:
Valid from date: 01/09/2010
Title: May paper in Law
Description: The May paper is submitted in May and defended in June at the end of the first year of the Doctoral programme.
Programme: Law Doctoral programme
Status: 1st year
Minimum grade: 55%
Graded in: A, B, C, D, E (if we add a grading definition module as described above)
To be delivered: May 15th

It shall be possible to link progress criteria to a programme/status through the standard progress definition interface or through the seminar management interface (for seminar attendance), or paper submission interface (for Paper results).

It shall be possible to refer to the historic criteria of the programme (for example: be able to discover easily what the criteria for right- of-passage from 1st year to 2nd year in the Economics department's Doctoral programme in 2005).

It would be useful if there is a function to create a copy of the progress criteria to facilitate data input.

See "Progress" under the "Academic Record" section to see how the progress record applies to the Researcher.

The Company shall describe in detail how this is managed in the proposed application.

14. Awards Definition

The EUI has currently 4 principal awards: Master of Laws (LL.M), Doctorate, Master of Research and Master of Arts. It will be possible to add awards. An award will have the at minimum following properties:
Title, description, related programme.

15. Insurance Premium definition

The Insurance Company provides a list of premiums per year. At present the EUI only manages insurance premiums with one Company, but this could change. An insurance premium depends on age and type of insurance the researcher chooses.

It will be possible to add and edit Insurance Companies and add and edit insurance premiums per Insurance Company.

See appendix I for information relating to the current insurance management module.

The Company shall describe how they would implement this.

16. Grant Authority Definition

A Grant Authority is any Institution/Body that provides a grant to a researcher.
A Grant Authority shall have a name, country, address, main contact person, phone number, email and fax. (A country code, if any, will be associated with the Grant Authority in order to relate the Authority to a Candidates/Researchers citizenship for automation purposes)

Reports before start of academic year are sent to all Grant Authorities with a list of people that will receive a grant and for what period. Changes in status which include suspension of grant may or may not need to be communicated to the Grant Authority.

17. Grant package Definition

Most Grant Authorities have a standard “Grant package”, although a Grant authority may have more than one. This grant is usually a monthly sum and may include health and travel costs and children and spouse allowances.

The grant may be paid to the Researcher directly or it may be transferred to the EUI’s account in which case the EUI manages the distribution of the grant.

It shall be possible to define the grant package with the following characteristics:
Valid from date, type (Standard, Private, Other), Name and Description, total amount, currency, includes health insurance, travel costs, partner and children’s allowance, an additional note field to indicate special conditions if any and assign it to the Grant Authority.

It would be useful if there is a function to create a copy of the grant package record to facilitate data input.

From the grant package definition window, it should be possible to view and print out who is currently receiving that grant.

To note:
The EUI awards grants to various groups of Researchers as follows:

1. EUI Doctoral grants (grant that can be awarded to EU or non-EU researchers for up to 4 years)
2. LL.M. Grants of 5000 Euro per annum that can be awarded to 5 LL.M students
3. EUI fourth-year grant, that can be awarded to fourth-year researchers meeting the conditions
4. First-year French students, of the same amount and payment conditions as the EUI fourth-year grant. French researchers, instead of receiving a grant from EUI in their fourth year, they receive an EUI grant for year 1, followed by three years of French grant.
5. Researcher representative grants (one-month payments) to Researcher representatives on request.

It shall be possible to indicate from which budget a grant is paid.

The Company shall describe the Grant management functionality of the proposed system in detail.

18. Memberships

It shall be possible to register/define clubs or societies. A researcher can then register for membership via the online portal.

19. Other values and tables that need to be visible and/or editable via the Administrative application

Intermission motivations, List of Universities, List of Degrees, Countries and Currencies.

The Company will describe how the proposed system will manage the administration of the application and how the system will support changes in Academic Rules.

SECTION V - ONLINE APPLICATIONS, SELECTION, REGISTRATION

1. Introduction

There are a number of application procedures per year managed by the Researcher Record management system, these are for the LL.M and Doctoral programmes, Master in Economics, Jean Monnet Fellowship programme, Max Weber Fellowship programme , the summer school of the Academy of European Law and two recruitment procedures per year for the Fernand Braudel Fellowship programme. The main deadlines are in September, October, January, March and April. The application procedures for Visiting Fellows and students are currently managed in a decentralised way by the Academic Departments.

The Company shall provide functionality to support the entire online application, selection and registration process described here.

The following conditions can be applied to any application procedure.

- An application form can be available in one or more languages
- Only one application per person per defined group of Programmes per year; for example a present a post-graduate may apply to only one Post-graduate programme, either LL.M or Master in Economics, Doctoral programme in ECO, HEC, LAW or SPS.
- More than one application per person per defined group of Programmes; for example a Post-Doctorate may apply for more than one type of Fellowship, but not all Fellowships. At present a Post-Doctorate may apply for a JMF and/or MWF, but if they do, they may not apply for an FBF and vice versa.
- The application forms for programmes may be identical, share some fields, or be very different. In general the personal and contact details are almost identical for each form.
- Attachments such as CV, Research proposal, Transcripts and GRE scores may or may not be required.
- References may or may not be required
- Referees are given the option of submitting references online, via email, fax or by post.
- A candidate that applies for more than one programme may use the same Referees. In this case only one reference will be submitted for two applications.
- The applications are available online for consultation for different groups of Evaluators/Selectors.
- Each application form and its attachments are exported from the database and combined to make one PDF file per candidate and these may be printed in batches, per department, per nationality, per grant authority etc.
- Assistance is given to the candidate to complete the online form. If the candidate is not able to do so, the candidate completes the form in an offline format and the application is introduced by assistants, or imported.
- Clear instructions need to be given to the candidates.

- Problems exporting and printing applications because of protected files needs to be managed efficiently.
- A candidate must be able to leave the form at any stage and be able to return to edit. This way they can fill the form step by step and don't need to enter all their details in one go. However, it is important automated emails are sent to remind candidates to complete before the deadline, these reminders can be sent at various intervals.
- Once a form has been opened and a name/department has been entered, then a referee can submit a reference. The form does not need to be complete before a reference can be submitted.
- A Referee can submit a reference before the candidate makes an application.

2. Creating and Activating Application Procedures

Activating and De-activating a candidate procedure shall be a simple task.

The online forms should be easy to create and modify, so that an experienced application user or an average technical user would be able to do this. The following actions should be possible through the interface

- Assuming a candidate may apply for only one programme per year, if there is an exception to this rule, it should be possible to define this.
- It should be possible to define an application form core. This will allow the system to identify the candidate uniquely and avoid that certain details are requested twice.
- Create an application form in a number of languages preferably without creating a new form for every language.
- It should be possible to copy application forms to be used for another application procedure.

For an application form it should be possible to define the following:

- Application deadline.
- When applications should no longer be accepted (not necessarily the deadline).
- When applications can no longer be modified (not the deadline).
- Mandatory fields: Mandatory fields should be highlighted in a consistent way throughout the application
- Maximum and minimum field lengths
- Whether a field is alphabetic only, alpha-numeric, numeric or a date field.
- Help or hints on filling-in for any field
- Select boxes, radio buttons and checkboxes reading values from a centrally controlled list (ISO country code for example)
- More complex logic for example: if citizenship or second citizenship are not associated with Grant show question "Choose grant Authority"
- Auto-fill, for example "Postal address same as home address" check box will fill the postal address field.
- The confirmation email the candidate will receive

- Additional customised emails that may be sent thereafter for certain groups of candidates (this may be based on citizenships, grant authority etc.)
- The email the Referee will receive
- Alerts based on certain conditions, for example if citizenship = German show a warning message, or if send email to Referee = Y then send email X to Referee.
- What will identify a candidate as unique
- Define selection criteria
- Be able to add one or more attachments with a limited size and type (CV, Thesis Proposal etc.)

A candidate can submit a core application which will also allow him/her to create a login and password before completing the application form, this login will allow him/her to login and change his/her application. A candidate will be able to request his login and password to be sent as a reminder to his/her email address. In the case that the candidate forgets which email address he/she has used, it should be possible to identify the person in another way, to avoid that the candidate contacts the admissions office.

Certain details will be mandatory to submitting a core application, a candidate, having submitted a core application will have the possibility to save the application and complete at a later date, which is before the deadline.

The candidate will receive a reminder email until the deadline to remind that his/her application is not complete. It shall be possible to define how often a candidate will be reminded that his/her application is incomplete.

3. Processing applications

Easy and immediate access to list of candidates and candidate details shall be available both for consultation online and for editing for the academic service during the candidate process and after.

Admissions office access

A list of candidates will be displayed in the main interface. The user will be able to search using surname, email or unique number, filter and sort the list of candidates by any combination of field criteria (name, programme, citizenship, grant authority, complete/incomplete application, status etc.) . Filtering and sorting shall be simple click functions. It shall be possible to save filters with a name to be reused by others.

Note: the names with accented characters should be searchable and sorted using the non-accented equivalent.

The user shall be able to select all or some of the lists candidates and perform an action on the selected records, this action may be to update the status of the selected candidate, send an email, create an email merge or letter merge based on predefined templates or a template created ad hoc at the time of the selection. The user shall have the possibility to re-send the application confirmation email to the candidate or to the candidate's referee/s.

The user will be able to select and edit a candidate record and add, update and remove attachments including References.

It shall be possible to create reports and generate statistics. The reports may be ordered or filtered by a selection of field combinations. For example List of candidate applications for the Max Weber Programme filtered by Department and sorted by surname, or List of Researcher applications to the PhD and LL.M programme firstly grouped by first citizenship, second citizenship and grant authority value, secondly grouped by department and then ordered by surname.

It shall be possible to export and print out the entire application details for all candidates, individually or in batch. The details will include all the details entered in the application form based on a template and the attachments if any and the references if any. This must be a simple process.

The Company shall describe the admissions office interface solution in detail and how the applications shall be exported in batch and printed.

The company shall describe how the application can achieve the following scenarios:

Scenario I

The admissions office administrator wishes to update the incomplete ECO, HEC, LAW and SPS doctoral , master and LL.M candidatures with References that were sent by email.

Scenario II

The admissions office administrator wishes to provide a printed copy of the ECO PHD candidates' complete applications who could potentially receive a grant from the Spanish Ministry; knowing that the Spanish Ministry will provide grants to Spanish and Latin American Candidates.
Note: the general table which lists countries (by ISO codes) also has an attribute which refers to the world area associated with a country.

Scenario III

The admissions office administrator wishes to create a CD with all files of those candidates eligible for a grant from the German Grant awarding authority.

4. Selection process and online access

The selection process is different for every candidate process. There are usually more than one group of evaluators on the selection board for every candidate process – for example the Doctoral Researchers are evaluated by Faculty and the various Countries' authorities (e.g. Department of Education). Short-lists are drawn up by the evaluators and discussed during selection committee meetings. An interview may be part of the selection process – it is for example for the PhD and Masters programmes.
It shall be possible to add new groups of evaluators.

Evaluation criteria
Evaluation criteria varies from one candidate process to another, for example language skills are extremely important when selecting a Researcher for the Doctoral or LL.M programme, but less so for the Fellowships. It shall be possible to add and remove selection criteria per candidate procedure and give different weighting to different criteria.

The following are examples of the types of criteria that can be used to asses a candidate:
Exam results, Level of qualification, language skills, reference letters, excellence of research, career interests, career interests as fitting with programme, availability of supervisor, advisors, mentors.

Online access
In addition to the extracted PDFs which are distributed electronically and in printed format to the evaluators some 6-8 days after the deadline, online access to the lists of candidates and full applications are also made available the day after the application deadline.

It shall be possible to define access rights to lists of candidates based on any number of criteria (for example 1st and 2nd Citizenship and/or Grant Authority value). The member of the selection board will be sent his own personal login and password which will grant him/her access to the candidates of interest online.

Through the online access, the selector will be presented with a list of candidates .The selector will have the possibility to filter and print the list and to print the applications or export the application details to PDF.

It would be an advantage if the selector will have the possibility to evaluate candidates using the defined criteria. He/she may do this by printing a table with the predefined criteria in table format or doing the evaluation online. The selector may have no opinion on certain criteria.

The head of the selection board will have the possibility to review the evaluations of the members of the board online. He/she will be able to print out a table of the candidates and the evaluation. It should be possible to identify those with more positive evaluation easily and order the list either alphabetically or by most positive or most negative evaluation.

The Company will describe in detail how the proposed system will provide the functionality of the above.

Organising Interviews of Candidates for programme

Approximately 350 candidates are interviewed over the period of 7 days. The interviews are run by the departments, but they are organised by the admissions office of the Academic Service.
Every candidate is given a half hour time slot and place of interview. With up to 8 contemporary interviews taking place at any one time, the admissions office must fit the candidates into slots and communicate the time and place with the candidate as soon as possible. The candidate is given about 2 or 3 weeks' notice regarding interview.

We foresee an application that will work as follows:

A candidate is assigned a time and a place for interview by the user based on his department and nationality, the system controls that no other person has been assigned the same time or place, when this has been confirmed the user will click a function "send interview invitation" which will send the candidate an email inviting him/her for interview at the set time and place. It would an advantage if the system can offer a function whereby the candidate could confirm his/her attendance automatically online.

It will be possible to then print lists of the interviews to take place per day. This will be per department (location).

The Company will describe what functionality the system shall offer to manage the interview process.

Interview and selection

As part of the interview process non-English mother-tongue candidates will be tested in written and oral English. These test results and the results of the interview shall be recorded in the system for reference. Some accepted candidates will be required to attend English courses at the language centre as part of their first year of the programme; this becomes part of the individual's progress requirements.

Post-interview selection

Following interviews and selection board discussion, lists of candidates that will be offered a scholarship and "reserve" candidates, with their rank order, are communicated to the Academic service. Some candidates may be accepted, but under certain conditions, for example that they complete their primary degree or master with a minimum result and provide evidence of this. The Academic Service marks the candidates that are selected, selected under condition and on the reserve list and indicates their position (rank) of the reserve list. They send out customised letters of acceptance and give the candidate a date before which they must accept their place.

Following this second and in some case third round offers are made to reserve candidates.

The company shall describe how the application can achieve the following scenario:

Scenario
The admissions office administrator wishes to shortlist 10 candidates with Italian citizenship for the doctoral programme.

Pre-registration

Once candidates have confirmed their intention to register with the EUI's programmes they are requested to submit the following documents online:

- A passport photo for the MAE ID card
- A photo which can be used for the EUI people directory and permission to use this photo
- Scanned copy of Passport (Number and photo)
- Copy of Degree/exam transcript if the candidate has been offered a position on condition.

5. Registration

Once the list of candidates is established, registration certificate and documents are generated for registration day. See appendix III for samples of registration documents.

Registration takes place over 2 or 3 days and the information gathered from the researcher is inserted into the Academic records system.

During Registration the following facilities are provided to Researchers:

- A Registration certificate

- an Institute matriculation card
- Permits of stay / MAE ID card
- Subscription form to the EUI medical insurance scheme
- Access to the Library
- Use of computing services with E-mail account and photocopy and print quota
- Use of the Institute canteen with 40% discount
- A pigeon-hole
- Assistance from all EUI services in all that concerns student support, e.g. accommodation, welfare advice.

The Company will describe its recruitment module in detail. The Company will describe as an example, how an Administrator will go about launching and setting up a new online application procedure for a new programme.

The Company shall provide all the functionality to support the above work processes and that described in appendix II which describes the functionality provided by the current system at the EUI.

SECTION VI - RESEARCHER RECORD MANAGEMENT

The modules and functionality of the core Researcher Record Management are described here below. We describe the management of the Researchers once enrolled in an EUI programme.

1. Researchers List

We foresee an application working similarly as follows:

Having logged into the application, a menu option "List Researchers" will display a list of Researchers including details necessary to identify a Researcher in a programme: unique ID, Surname, Name, Date of birth, Primary Citizenship, Current Department, Current Programme, Current Status. It will be possible to sort and filter this list by Primary Citizenship and/or Department/Programme and/or Status, nationality, grant authority or a combination of two or more of these.

From the researcher list it will be possible to access all modules relating to the Researcher's current programme/status: Personal details, Contact details, Status, Academic and Progress records, Grant/Scholarship and Insurance records, Seminar series enrolment etc. It will also be possible to access the historic data of researcher: candidature, previous academic programme affiliation.

From the full, or filtered list it will be possible to select some or all of the researchers using a checkbox and carry out a common action on all records. This action may be adding a note (see personal details), a common email using the Researcher's EUI email address, a mail merge using an existing template or template created ad hoc, or a transcript or certificate. Each of these actions will be logged.

2. Personal details

Each person will have a unique number. This number will allow the person to be identified within the application and throughout EUI systems. The identifying attributes of a person are: date of birth, country of birth, surname and forenames. A unique EUI email address will be assigned to every person during their period of stay at the EUI.

A person will have the following mandatory attributes: Surname, Forenames, gender, date of birth, Country of birth, one citizenship.

For Researchers that are enrolled in a programme for more than 3 months, it must be possible to store a photo, passport details and contact data in case of emergency. All Researchers that are enrolled in a programme for more than 3 months will be assigned a personal EUI email account.

To complete the profile the following data can be stored: Place of birth, Second citizenship if any, mother-tongue.

It should be possible to indicate death of person. This will disable any automated generation of email or postal contact using the deceased persons contact details.

It shall be possible to register information relating to the Researcher, for example, partner and/or child/ren. Partner and child will have gender, date and country of birth. A partner shall have his/her own (non-EUI) email address. This information is primarily used to manage the medical insurance, grants, and access to the EUI campus with the EUI partner card.

It shall be possible to add notes relating to a researcher. These notes will have the following format: Date, Note, user, category, importance, “internal/open”. These notes may appear as part of the log, but should be easily identified. These notes will be visible by the Researcher via the portal if they are set to “open”. By default the notes will be internal.

Information regarding a researcher’s library loans and fines may also be visible as notes here.

Queries logged through the Researchers portal to the Academic service or departments will be accessible here as notes.

A user with appropriate rights can access the Personal details through the list of Researchers

3. Contact details

It is important that any current researcher can be contacted at short notice. The main point of contact is via the EUI email address, which is assigned automatically before Researcher registration. This shall be retrievable in read only mode from an external database.

The researcher may also have a secondary email address, external to the EUI, and a contact mobile telephone number. It shall be possible to register a number of addresses, emails and phone numbers for each researcher. An address will have a type (For example: Permanent home address, Local address). An address can have up to 4 address lines, a zip code, Town/city and country. An address can have a phone and fax number.

4. Programme and Department affiliation

Every researcher is affiliated with an Academic Programme, this is the principal defining academic relationship. A programme can have none to many researchers at any one time. A programme is associated with a Department; however some Researchers will have an affiliation with a Programme and with a Department. It shall be possible to register this relationship.

For example all Researchers (Post-docs) that are part of the MWF programme are also affiliated with one of the Academic Departments (ECO, HEC, LAW, SPS).

The Company will describe how the system will manage affiliations.

5. Status management

The status of a researcher is important primarily for those following the Doctoral programme, it will depend on their departmental and programme affiliation, length of time at the Institute, the progress they have made and the number of intermissions they have taken as part of their research programme and whether they are currently present or absent.
The status of the doctoral researcher is represented by a progressive number (Year 1, 2, 3, 4 or 5). Changing the status of a Researcher shall involve assigning the status from a programme related list of choices, dates of validity and a note field.

It needs to be explored whether the Grant package is registered as part of the status record.

The Company will describe in detail how the proposed system will manage status as described.

6. Research intermissions

In practice this term refers only to Researchers affiliated to the Doctoral programme. The status of the doctoral researcher is represented by a progressive number (Year 1,

2, 3, 4 or 5). A researcher that continues to progress through the 2nd, 3rd and 4th years without intermission will maintain a current status at the EUI.
Without any intermissions a doctoral researcher will start each year at the beginning of the academic year (01/09/20xx) and complete the programme on defending his/her thesis or at the end of the 5th year. However many researchers will take intermissions during this time

One or more intermissions can be taken by a researcher during their academic life at the Institute (to a maximum of 18 months). These intermissions can be personally, health or professionally motivated.

A researcher applies for an intermission with the support of his/her supervisor by letter. The application will include details regarding the motivation for the request. The application for intermission must be authorized by the Admissions committee.

An intermission has the following attributes:

Start and end date:	
Motivation:	list of motivations, this list must be editable.
Fund suspension*:	A researchers funding may be suspended during the intermission.
Note:	More details about the break.

If the status of the Researcher is postponed this means that passage to the subsequent year (1st to 2nd for example) will also be postponed so also will the dates for submission of end of term or end of year deliverables, as these dates fall outside the standard progress dates and submission dates, it should be possible to identify these researchers easily and a report should be available to show deliverables due by these researchers, it should be possible also to send these type of reports by email, this should be configurable through the alert management module and/or the reports module .

*A researcher's funding is usually suspended during the intermissiom but there are occasions when it is not or cannot be suspended

7. Grant management

During the application phase the EUI will identify which grant authority (or authorities) the candidate is eligible to apply to for a grant. And this grant authority is already involved in the selection of Researchers.

A researcher usually receives one grant, but may receive more than one. A grant will have a Sponsor (Normally called Grant Authority), can be a fixed sum and it can include health insurance costs, travel costs, family allowance etc, and is calculated for an academic year (12 monthly payments). Typically, the researcher receives grant “A” from Authority “A” for the first 3 years of the programme and the “EUI 4th year” grant from the EUI in the 4th year.

A grant may be terminated based on lack of progress, or it may be suspended for example during a research intermission.

The application shall provide means of recording all Grant information for a given researcher associated with a programme.

The grant package (as defined under administration interface) will have the following data:

- Total monthly grant amount
- Includes travel costs allowance, where applicable
- Includes Health insurance premium, where applicable
- Currency in which grant is paid
- Includes child allowance, where applicable
- Includes Spouse/partner allowance, where applicable

The grant package will be associated with the Researcher within the programme with the following data:

- Start and end date of grant
- Note field

As mentioned above it needs to be decided whether a grant package should be associated with the status record, or how the information regarding status, status suspension leading to grant suspension will be synchronised.

It needs to be explored whether the intermission data is registered as part of the status record or in a separate table. In any case, it is necessary to sync the status and intermission data in the case of a status suspension.

Note: The 4th year grant is given for 6 months at a time. The second six months is granted if the Researcher has met the progress requirements for the first half of the 4th year. The decision to prolong the grant for another 6 months or less must be registered, this may be part of the progress record. The date of decision and positive or negative result shall be recorded.

The Company will describe how the system will manage status, status intermissions, grant allocation and grant suspension.

8. Academic Record Management

The Academic record of a researcher will refer to the programme, departmental affiliation and status records as discussed in the last section. However the detailed information about the researcher's academic life at the institute is the essence of their record. This record refers to the Thesis title and language, the Supervisor, Co-Supervisor, Thesis advisers and jury members, missions, the overall progress record, seminars attended, papers submitted etc. Changes to the Academic record will be logged. The elements of the Academic record are described below.

8.a. Thesis

Every Researcher enrolled in the Doctoral and Master's programme will have a thesis title, description and language, the thesis when defended can have a final summary and Jury's comments. The title and language in which the thesis is written can be changed; these changes must be recorded in a history record.

A thesis will have a submission date, a defence date and a publication date.

There are roles outside EUI internal staff roles that can be associated with a thesis and thesis defence (External Supervisor, Reader, Member of Examining board etc.)

It should be possible to register where a thesis is started as part of the EUI Doctoral programme but is then continued at another Institute; name of other Institute and date started. It should also be possible to record whether the Thesis was defended elsewhere. This may be in a note field.

8.b. Progress

There shall be an interface for inserting/editing the Researcher's overall progress record and the sub-progress records relating to the individual progress criteria for his/her programme and status.

Overall Progress record:

The overall progress decision depends on the results of a combination of progress criteria.

The overall result shall be generated automatically with a pass/fail/deferred decision and a deferral date if any. There will be an annotation field in the overall progress record.

Through the interface it shall be possible to defer the overall progress decision to a later date, or to over-ride the auto-decision that comes from the sum of criteria decisions. It shall also be possible to add annotation regarding the progress record.

Any changes to the decision will be recorded in a “history of all progress” record. From this record it shall be possible to see the original decision, annotation if any, who made the change and on what date.

Sub-progress records:
The main sub-progress objectives to be attained are determined by the programme affiliation and status. However an individual researcher may have additional sub-progress objectives based on requirements of his/her supervisor or for example in the first year of the Doctoral programme, some researchers are required to complete language courses, this becomes part of the Personal Research plan (PRP).

As it shall be possible to defer the decision regarding overall progress to a later date, it shall be possible to defer the decision regarding the attainment of the necessary credits of any of the individual sub-progress records to a later date also. If the decision is deferred for any of the sub-progress records, the deferred date of the overall progress record will automatically be updated, that is if the deferred date of the overall record is not already later than the sub-progress deferred date.

Where a decision is coming from a summary of data from another module, this shall be automated.

It shall be possible to add a progress decision for a selection of researchers for any given criteria preferably in batch through the interface, or by script. This refers now specifically to the requirement to complete the Supervision Assessment Survey at the end of the Academic year, where we have over 95% of Researchers responding, therefore 95% meeting this criteria.

Therefore to note:

- Overall progress is made up of a number of sub-progress records relating to the criteria for the Researcher’s programme/status that he/she has to fulfil.
- A Sub-progress record can be a simple result referring to the criteria’s minimum grade/number of credits.
- A sub-progress record can be a summary result coming from another module (Seminar attendance, Paper submission etc.) and the decision data should automatically be imported into the progress record as a YES/NO decision or with number of credits (see Seminar management and Paper submission).
- Batch update of progress criteria should be possible where only exceptions have to be inserted manually (like in the case of Supervision Assessment survey completion)

8.c. Objectives – Personal Research Plan (PRP)

Related to the progress records, Objectives are set for each Researcher individually. A Researcher automatically inherits the objectives as defined by the rules of his programme/status-year affiliation and may have other objectives as established during first meetings with Supervisor at the start of the Academic year. This is called the Personal Research Plan (PRP).

Every researcher will agree in consultation with a (provisional/definitive) supervisor on the following:
- working title and a general profile of the research project
- seminars/courses/events that will be attended to acquire credits
- Specify the ways in which the researcher will comply with the department's language requirements

The Company will describe in detail how the application will manage the progress records and the PRP.

8.d. Missions

Researchers can go on a Research mission as part of the Doctoral Programme. Each department has its own rules on missions and processes mission requests in their own way.

In the HEC department the rules/guidelines are as follows:

> Researchers in the first three years are allowed up to two research missions per academic year, each lasting up to two months.
>
> First and second-year researchers are expected to concentrate their missions during the mission period: from 16 March until the first week of May and during the summer break. They may be allowed to join two mission periods into one, if they need to spend an extended period of time in an archive.
>
> Missions longer than two months must be authorized by the Admissions Committee, upon suggestion of the Department. Third and fourth year researchers can schedule their research missions in a more flexible way, according to their mission plan.
>
> Researchers are requested to submit a written Mission Plan at the beginning of the academic year (deadline 12 November) which must be approved by the Supervisor. All mission requests must be endorsed by

the Supervisor and countersigned by the Director of Graduate Studies or by the Head of Department.

Mission cannot be approved if the researcher has not met her/his obligations under the current regulations – all the relevant deadlines for their cohort (Seminars, February and June Papers for first-year researchers, two chapters for the second-year and 2/3 of the thesis for the third-year researchers).

In the SPS department the guidelines are as follows:

- Mission funding is limited, and is granted at the discretion of the Department.
- Mission funding is normally not allowed in the first year.
- In years 2 and 3 mission funding is granted for field work and other essential trips, with a lower priority for presenting papers at conference.
- In year 4 funding may be granted, although this is usually only for presenting papers at conferences.
- In order to avail of funding for presenting papers at conferences, researchers are expected to supply a copy of the paper that has been presented.
- Limited funding is available for summer schools, and this can be applied for as of the summer at the end of first year. Funding for summer schools is conditional upon the school offering essential training that is not available within the internal Institute programme.
- Mission funding is conditional on researchers having completed their requirements to date.
- Mission funding is available only to researchers currently on grant.
- Mission funding is not granted to researchers who are on exchange visits to other universities or on leave of absence, except for some help towards travel expenses to the other university.
- Researchers may apply for non-mission expenses of various sorts, although these are very limited and are granted up to a maximum of 50% of receipted expenses.
- Mission requests should be submitted by the advertised deadlines.
- Requests should include the two relevant forms. Supervisors also grade requests. The proportion of funding allowed will normally reflect this grading, subject to overall department rules and considerations of equity among applicants.
- Funding decisions are made formally by the head of department advised by a committee consisting of the administrative assistant, financial site officer and a representative of the
- researchers. This committee normally works by consensus.
- Each year the committee decides on a ceiling for the maximum funding that any one researcher can receive in that year. This is not an entitlement and the average amount received is (by definition) well below that maximum.
- In case of excessive demand, it is often not possible to meet 100% of each request.

- Researchers on lower grants will tend to receive more than those on higher grants.

It shall be possible for the researcher to apply for a mission and view its status via the Researchers Portal.

The mission request form and authorisation workflow takes into consideration, budget, distance of mission, payment per trip, currency exchange etc.

See appendix IV for current Mission request form.

8.e. Supervision

Every Doctoral and Master researcher will have at least one Supervisor. This Supervisor is part of the EUI Faculty. The researcher can have one or more Supervisors, Co-Supervisors, Advisers and Jury members.
The Faculty list shall come from the personnel management application, Dolphin, however there are non-faculty and non-EUI members also associated with a Thesis and its defence as members of the examining board for example.
Any of these supervisors/advisers can change over time; these changes must be recorded in a history record.
See integration with Dolphin for more information.

8.f. Awards

At present the EUI grants four types of awards: Doctorate (PhD), Master of Laws (LL.M Master of Research (M.Res), Masters of Arts (MA). It shall be possible to register what was awarded to the Researcher and on what date.

A researcher that receives an LL.M or PhD may attend the EUI's conferring ceremony.

8.g. Annotation

It shall be possible to manually add a note to the Academic record with the following characteristics:
Date, Note relative to (predefined list), Descriptive Note, username, private (only admin user with access to the persons annotations can view) or non-private (researcher can view) follow-up date if any.

The Company will describe how the application will manage the academic record based on the description above.

9. Paper submissions and correction

A Researcher submits papers for correction on or before the deadline. These papers are normally part of the progress requirements, but may not be.

A paper is submitted by a researcher and may be read/graded by up to 3 Professors. The paper may have to be defended. The system shall offer the possibility to register the submission of a paper and associate up to 3 readers (As 1st, 2nd and 3rd Reader).

10. Events/Seminar Management

Departmental events are at the core of the academic programme and the researchers' objectives.

The following are the types of events that shall eventually be visible or managed via the administration interface: Seminar series, workshops, Conferring Ceremony, Summer Schools, career events, mock interviews, teaching skills week, public speaking, teaching opportunities.

The administrative interface shall provide functionality for managing the following tasks:

- Listing Departmental Events
- assigning credits and a group of Researchers as mandatory to the Event
- uploading reading material
- Activate online registration with the possibility to restrict registration to a group of Researchers and number of registrations/participants.
- Send an invitation to a group of Researchers
- Registering people
- Registering Researchers in batch
- Confirm online registration
- List those invited
- List those registered and the details of their registration
- Send reminders to those invited but who have not registered
- Send customised emails to those who have registered
- Export a list of those registered
- Manage bounced emails (for non-eui email addresses)

Seminar series described:

The academic year has 3 terms. A seminar series normally lasts one term, but may last a full 2 terms or a full academic year. The start and end date of a seminar series is, in any case, flexible and not to tied strictly to any term. The seminar sessions are normally timetabled weekly, but may follow any alternative pattern (Daily, bi-weekly, bi-monthly, monthly etc.) – timetabling seminars should be a straight-forward function available through the administrators interface.

A relationship between the seminar series and a group of Researchers (Group of persons registered in a defined Programme with a given status) will define whether a series is compulsory or not and how many credits the seminar attendance earns based on an attendance record.

Seminars series are established by professors before academic year starts. Attributes of a seminar series are:
Title
Department
Main professor (there may be seminars organized by non-EUI staff)
Other people in other roles (speakers, contact person)
Number of sessions
On which day it normally takes place
Where it normally takes place

Note: this data is currently stored in the Events application.

A seminar series will have

- A collection of documents as readings that can be downloaded by researcher
- Optionally its own url with exhaustive information
- An online forum for exchange of ideas and discussion

An administrative user shall be able to communicate delays, postponement or changes of the seminars schedule to the registered Researchers in an automated way via the interface.

Attendance records

Attendance lists are produced to register the presence of researchers. Date, title of the seminar, name of Professor, list of registered Researchers with affiliation and with a space for signatures is provided.
Researchers are requested to sign the sheet during the seminar.
The attendance records are registered manually by staff members. The interface should facilitate this data entry reducing the number of clicks to a minimum.

Other methods to control seminar attendance that will eliminate data entry shall be considered.

Attendance record summary relating to progress record
For compulsory or Seminar series carrying credits; at the end of the term or academic year the summary information which determines whether or not a Researcher has acquired the necessary credits based on his/her attendance record, will be available automatically in the progress record.

All of the above can be recorded in the application. The Company will describe in detail how the application will manage the above.

Statistics
A report will be available that will indicate the attendance records per seminar series.

Note: It would be interesting if the product allowed the online registration form to be customisable.

11. Health Insurance

Every member of the EUI must guarantee that they are covered by a Health Insurance Scheme. EU country citizens are covered by Italian Public Health if they register with their EHIC form. Non-EU country citizens with health insurance from their country of origin must sign a paper declaring same. A Researcher may however choose to take out private health insurance additionally during their stay.
Currently the EUI deals with one Health Insurance Company only. The Insurance Company offers different premiums for Adults, young adults and children. At present there are 6 premiums 2 adult, 2 young adult and 2 child premiums.
A researcher or fellow may choose to be covered only for the whole year (Academic year) or only for periods of months.
Some grant authorities pay for this private health coverage while the researcher is receiving a grant, a Researcher can choose to continue paying for the insurance themselves even if the grant has expired, but as long as they have a current Researcher status with the EUI.

The following describes the current health Insurance module which covers the minimum functionality required:
There are interfaces which allow the administrator

- To add or edit basic information regarding the Insurance company. information.
- To add or edit premium information (Valid from date, CODE, Description (Child/Adult etc), cost per month
- To associate a premium with a Researcher or his/her partner and/or children per month and to indicate who pays for the insurance premium per month. The

premium may be paid for by the Researcher themselves, the grant authority, the EUI.

The accounts for billing the Grant Authorities, the departments or the Researcher themselves are managed principally by the Academic Service. The payment to the Health Insurer is also managed by the Academic Service.

See appendix I for the interface and reports that are currently made available for the accounts and for the Insurance Company.

12. Small jobs

A Researcher can carry out up to 150 hours total per academic year of “small jobs”. A Researcher may have one to many jobs, however the total number of hours may not exceed 150 hours.

Small jobs are managed by the current researcher management system with the following attributes: start date, end date, number of hours, service or department for whom Researcher will carry out “small job”, job description (e.g. Assistance to library users, cataloguing etc.), type of contract (currently only one type).

A report of these contracts for a given date range displays a list of all contracts with all attributes, grouped by Researcher and with total number of hours per Researcher.

SECTION VII - PORTAL

For Researchers:

The Researcher portal will be available to all researchers enrolled in an academic programme, some functionality of the portal will also be available to full members of the alumni association.

The application administrator can define to what groups certain information and functions shall or shall not be visible via the portal.

The portal shall be a real interactive tool allowing the Researcher to view his progress and communicate with his/her Supervisor. The functionality that shall be available via the researcher portal is described in the sub-sections below.

Authentication will use active directory.

Personal information

A researcher shall be able to view and update local address, phone contact and emergency contact information.
A researcher shall able to view and insert data regarding partner and children. A partner and child have a surname, forename, gender, place, country and date of birth.

Notifications

Automatic and manual notifications shall be visible via the portal, for example if the researcher has active loans or fines with the Library.

Grant status information

A researcher shall have the possibility to view the status of their grant (when it is due to expire etc.). It would be useful if grant payments are visible though the portal; this would link to the financial software for summaries and payments

Academic records

A researcher shall have the possibility to view the following via the researcher portal: list of seminar series and courses to which they have registered, attendance record, credits earned per year, their progress records and PRP (personal research plan), upcoming deadlines, academic evaluations and/or annotations that are related to them and current programme, any other annotations that are made visible to the Researcher.

Online registration for seminars and events

A researcher shall be able to consult the lists of seminars available for his year and have the option to register via the researcher portal. Every seminar will show other than his

title, if it is mandatory, the length, number of credits that it offers, the main professor and indicate if the researcher has already registered.
Once staff department has accepted the registration request, it is confirmed. Seminars available from other departments will also available for registration. Collisions or partial overlapping of seminars will be indicated for those where registration has already been made.

Paper submission

The researcher shall have the possibility to submit papers for correction via the portal.

Reports and transcripts

The researcher can generate a transcript and certificates via the portal.

Profile page

A researcher can create a personal profile page which has a photo, profile, CV, links to other personal pages (CADMUS - EUI's implantation of DSpace, linkedin, tweet, facebook, blog, or forums), they may add contact information. They may choose that their page is public or visible only via portal.

Requests

A researcher can make a request and view the status of the following:

- Research mission
- for a new ID card, new or renewal of partners ID card
- health insurance, renewal or prolongation, or change nominated persons (child, partner etc.)
- Request for intermission
- Submit request for excused absence

Each of these forms will request different data in different formats. See appendix IV for mission request form.

Access to other applications

A link to the following applications will be available via the portal: EUI housing database, EUI residence application form, mailing list opt-in/opt-out

For EUI Supervisors:

EUI Supervisors will be encouraged to use the portal in order to communicate with supervisees and monitor their progress, leave notes and make annotations.

For Alumni Association members:

The portal will also be available to full members of the EUI Alumni Association. Along with online subscription and request for renewal of Alumni association membership, a membership donation form the following functions shall be available:

Contact information

An alumnus shall be able to view and update address, email and phone contact information (one or more).

Professional information

An alumnus can insert or modify the following information: Job category (from list), Job title (from list), type of institution (from List), Name of institution, country (from list)

Profile and page

An alumnus can create a personal profile page which has a photo, profile, CV, links to other personal pages (linkedin, tweet, facebook, blog, forums etc.), they may add their contact information. They may choose whether their page is public or visible only via portal.

Online member directory module

The alumnus may decide whether his contact and professional information is available to all other alumnus and/or EUI researchers. The online member directory module will provide an email function for members/contacts with ability to select recipients by precise criteria (for example name, organisation) and ability to manually select specific recipients.
Name, dates of affiliation with EUI, department, email address, work place, position.

Multiple chapter groups

The administrator can define chapters and an alumni association member can join a chapter via the portal. The chapter function will offer the minimum functionality of displaying a member's affiliation to the chapter and emailing to them as a group.

Other Portal functionality:

The portal will provide the functionality for classified advertisements (grouped by type), discussion forums, creating an event, displaying them in calendar/timetable format, Automatic event notices and reminders to members, an online event registration. It would be interesting if the portal offered the researcher or alumnus to insert publications for listing in a standard format.

The Company will describe how they will provide the portal functionality described above for Researchers, Supervisors and Alumni.

SECTION VIII – ALUMNI MODULE

Alumni administration

The following functionality is required for the administration of the Alumni and Alumni association:

- Statistics and reporting – user-friendly interface
- Search function - for easy and quick recognition of person
- Group emailing - for notices and events
- There shall be a mail-merge function
- It shall be possible to trace the Alumnus's participation in EUI events.

An Alumnus shall have any or all of the following:

- One Email address
- One contact phone number
- Job category and sub-category
- Working at "Type of Institution"
- One address, An address will have a "type", and use standard address fields depending on "type", for example a professional address will have "Company or Institute name", "Department" etc., certain fields must be mandatory.
- A field stating whether the Alumnus has taken part in the EUI's conferring ceremony and in which Year.

Managing the Alumni Association (AA)

There shall be an interface for managing the Alumni Association. An Alumnus can become a full or associate member of the Alumni association online and pay for their membership and renewal of membership online. Non-researchers/Fellows can in some cases become associate members of the Alumni association. Membership is for a minimum of one year with start and end dates coinciding with the Academic Year (01/09 – 31/08)

Via the AA Administrative interface it shall be possible to

- Add members
- Prolong memberships
- Edit Membership details
- Search members
- List members and members details
- View Statistics
- Send automatic messaging to communicate to members that the membership is about to expire.

Alumni association membership can be paid for online. An online donation form will also exist.

Managing the Conferring ceremony

It shall be possible to manage the Conferring ceremony as part of the "Event Module".

Anyone who has successfully defended their PhD, Master in Econmoics or LL.M thesis and who has not already attended the Conferring ceremony is invited by email to attend and may register to attend the ceremony via an online form.

See Appendix V for online registration form and email templates used to communicate with the invitees and participants.

SECTION IX - INTEGRATION

The Researcher record management system shall be integrated with the following systems: Contensis (WCMS), CPR (Central Person Registry), Events (Room booking and timetable publication), Dolphin (HR system), Accounting system, DSpace (EUI open access publications repository), Library management system, VOCUS (PR software). The integration is described below.

Contensis integration

Researcher information shall be made available on the EUI website via the searchable "EUI directory" that is part of the Contensis (WCMS). The EUI directory provides a search and lists all EUI members with their affiliation and contact details. Doctoral and LL.M Researchers' information additionally includes Supervisor, thesis title, status and nationality.

Alumni shall also be searchable via the "EUI Directory", this additionally list the year they started the EUI, their nationality, their thesis title, the date they defended, their supervisor and examining board if they defended.

Via the "EUI directory" the supervisees of a Professor will be displayed as part of his contact/summary page.

The data shall be presented by the researcher record system to the contensis database for import.

CPR integration

Every new Researcher shall be registered with the CPR (Central Person Registry). A person is registered with a Surname, firstname, gender, date of birth, country of birth, status, start date of status, end date of status and a "last modified date". Each time a change is made to any of this data, the "last modified date" is set to the current date and time, and this marks the record for updating in CPR.

Registration and updating of CPR takes place in batch on a daily basis. CPR, a backend application which runs on ORACLE 11, checks whether any records have been updated over the previous 24 hours. It uses the "last modified date" to control this.

See appendix VI for current table/view structure.

Events

The Events application allows the EUI administration to book a room and equipment, on a given day/days and times, associate an event type (Seminar, course, conference etc.), a title, description and also associate people as organiser, contact, speaker etc. and publish this on the EUI website as part of the EUI timetable of events.

Depending on the inherent functionality of the system the Company offers, the means and method of integration will vary.

As part of this solution we require that an Event continues to be registered and updated only once in either system and that the two systems remain in sync.

As described in the section Seminar Management above, the proposed system shall offer online registration, attendance sheets, attendance registration and integration into the progress record.

See appendix VII for the ER schema of core tables of the Events application.

The Company shall describe in detail how it shall keep the two systems in sync.

Dolphin

Dolphin is the system used by the EUI's personnel service to manage the EUI's personnel and work contracts. The list of EUI Professors associated as Supervisor, co-supervisor, readers etc. in the researchers' academic records come from this database application.
Included here also is all contract information regarding Researchers' Research assistantships which should be visible in a read-only mode via the Researcher Record management interface.
A link shall exist between the list of Professors in the personnel database and the Professors that are linked to researchers' theses, papers, exams etc. in form of corrector, reader, supervisor etc.

The Company shall describe how it proposes to link the Professors lists.

Accounting system

A link to the accounting system using the EUI's unique ID for a person will exist in the interface and this will display the researcher's bank account number and statement of payments received or paid.

The EUI will replace the current accounting system, therefore the method of integration will be defined end 2012/beginning 2013. The company shall describe their experience with integrating the researcher record management system with accounting systems.

DSpace

DSpace is the EUI's open access research repository and contains the publications by its members. DSpace uses the Dublin Core metadata format stored in a relational database in ORACLE. The new Researcher record management system shall be integrated with DSpace by linking the academic profile to EUI academic publications listed in DSpace. This synchronization could be done using the standard harvesting method OAI compliant or direct integration via the Oracle DB.

The publications listed in DSpace for the researcher shall be visible via the portal and if the researcher chooses on his/her profile page.

The Company shall describe their experience (if any) with integrating the Researcher Record management system with DSpace.

LIBRARY MANAGEMENT SYSTEM

The application shall allow the user to visualize whether a researcher has active loans from the library and/or fines to pay to the library. This information should also be visible as a notification to the researcher via the portal.

The Company shall describe their experience (if any) with integrating the Researcher Record management system with a Library system for registration of users, managing book returns and fines.

VOCUS

VOCUS is the hosted customer relationship management system. The EUI Alumni contact data should also be available via this system. How this shall be integrated depends on the inherent functionality of the Company's proposed system.

The Company shall describe their experience (if any) with integrating the Researcher Record management system with another contact management system.

SECTION X - TRANSCRIPTS, REPORTING, STATISTICS

The database is a relational database, therefore the data shall be readable by any reporting tool. The EUI in addition requests rich, flexible, self-service reporting that will allow non-expert users to get reports and statistics based on their own criteria and therefore be able to make decisions based on individuals, Departments, Programmes etc..

Filtering, merging to word, email using email address etc. shall be possible.

Predefined reports are available as part of the implementation.

Listed below are some samples of what reports will be required:

1. List of all current researchers in years 1 2 3 4 (and 5), with their e-mails, citizenship, department, year of status, year admitted to EUI, grant authority, supervisor, thesis title, intermission and absence dates.
2. List of the current fourth-year researchers, with their emails supervisors etc. as above, but also with thesis submission and defence dates, and grant award dates.
3. List of last (and previous) academic year's fourth-year researchers = statistical analysis of "completion" vis-à-vis the EUI fourth-year grant paid out.
4. List researchers and their attendance record for those who registered for prof. X's seminar titled "XXXX".
5. List researchers per department that took a research break (intermission) at any time of the four/five years of registration, listing the motive, dates, number of months for each of the intermissions and the total of intermission in months.
6. List the supervisees (and co-supervisees) of a given professor
7. How many visiting and exchange students do we heave currently registered
8. List the researchers who have had ''small job'' contracts with the EUI this academic year
9. How many doctoral theses were defended last calendar year, department by department
10. List all current researchers, their thesis titles and supervisors
11. List all current researchers by nationality and year (1 to 4) in a table format, showing departmental affiliation
12. List all current researchers by department and year (1 to 4), in a table format, showing their nationality.
13. List Alumni (name, department, citizenship, year), ordered by who is working in a particular employment sector.
14. List all researchers who are currently receiving a grant under the "Latin America" group of grants.
15. List of members subscribed to the Health insurance Company "Van Breda"
16. Total amount due to the Health insurance Company "Van Breda"
17. Total amount that should be paid by Grant Authorities for health Insurance.

The Company shall describe what features the application has in order to facilitate creating reports. For example the possibility to print what is presented on the screen in a printable format.

The Company shall describe what reports if any are part of the implementation, what reporting tools they recommend and what reporting tools other customers are using.

TITLE III - PRICES AND PAYMENT TERMS

Article 10 – Invoicing

The Institute is an international research organisation with a decentralized administrative structure managing many internal projects as well as externally financed activities, by both public and private sponsors. The Company undertakes to comply fully with the analytic invoicing procedures required by the Institute, issuing invoices – if and when instructed to do so - for specific cost centres or activities.

Payments will be made monthly by bank transfer, within 60 (sixty) days from receipt of invoice.

The Institute is exempt from Value Added Tax on services and goods purchased for its own activities for amounts higher than € 300,00 in accordance with art. 72, para.1, lett. e), and para. 2 of D.P.R. 26 October 1972, no 633.

Any penalties for non-compliance shall be deducted from the invoices to be paid.

Article 11 – Periodic price adjustments

The amount agreed upon in the contract shall remain fixed and unchanged, and shall not be subject to any type of price adjustment.

TITLE IV - ADMINISTRATIVE AND CONTRACTUAL COSTS

Article 12 – Signing of contract and service on-site

The Company awarded the tender is obliged to pay for all costs incurred in drawing up and finalizing the contract itself, including an on-site project initiation phase of 2 (two) weeks at the European University Institute in Florence. This total cost has to be included in the economic offer.

The contract will be signed at the premises of the Contracting Authority.

Article 13 – Declining the award of the contract

The Company provisionally awarded the tender may decline to accept the contract prior to or during the on-site project definition period of 2 (two) weeks, The Company will be charged with any expenses incurred by the Contracting Authority in establishing the contract with the Company and € 500.00 (five hundred/00) euro per day from day of provisional awarding of contract.

Article 14 – Withdrawal from contract by the Contracting Authority

The Contracting Authority may withdraw from the contract, even after service provision has begun, on condition that it refunds the Company for all expenses incurred, compensates it for all work done, and for loss of earnings.

Article 15 – Termination of the contract by the Company

Should the Company decide to rescind the contract before its expiry date, without just reason or cause, the Contracting Authority reserves the right to charge the Company for any and all additional costs that are incurred by having to entrust the service to another supplier, as damages compensation.
In such a case, no amount is due to the Company for any investments it may have made in order to implement the contract.

Article 16 – Warning notice to fulfil contract – De jure termination of contract

If the services provided are not in full compliance with the tender specifications, the Contracting Authority has the right to refuse the services and to issue a warning notice – sent by registered letter – demanding that the Company comply with its contractual obligations, establishing a strict deadline (no more than 15 days later) within which the Company shall provide services in compliance with the instructions received. Should the Company not fulfil its obligations within expiry of that final deadline, the contract shall be deemed terminated *de jure*.

Article 17 – Other cases of contract termination

Should the Company be found in serious, or repeated, breach of its contractual obligations, the Contracting Authority shall have the right to rescind the contract, after sending an official registered letter with acknowledgment of receipt to the Company; contract termination shall carry with it all the consequences envisaged in the law, including the Contracting Authority's right to award the contract to third parties at the expense of the Company at default, over and above the application of all penalties due. In any case, the Contracting Authority shall not pay for any goods or services not delivered or not delivered according to contractual terms.

Article 18 – Bid bond and performance bond

As a guarantee of full compliance with contractual obligations, the Company awarded the contract shall issue a guarantee or a performance bond equivalent to 5% (five per cent) of the presumed value of the contract, by the way of

  a bank guarantee or insurance policy or a policy issued by financial brokers included in the special register provided for in Article 107 of Italian Legislative Decree 385/93 and subsequent amendments.

This guarantee must remain valid throughout the duration of the contract, it must expressly provide for waiver of the right to enforce prior payment from the main debtor,

and become operational within fifteen days upon a simple written request by the Contracting Authority.
The Contracting Authority, while reserving the right to claim further damage compensation, shall immediately revoke the tender award from the Company that fails to submit a guarantee or performance bond according to the terms described above. The Contracting Authority shall also take possession of the defaulting Company's bid bond. The performance bond, once regularly issued, shall remain non-redeemable not only until expiry of the contract, but also until any and all dispute and controversy regarding the contract is definitively resolved.

Article 19 – Subcontracting or transfer of the contract

It is forbidden to subcontract or transfer the contract of service disciplined by these Tender Specifications.
Should this prohibition be violated, the contract shall be deemed terminated *de jure*, without prejudicing the right of the Contracting Authority to obtain compensation for any damage and expense incurred.

Article 20 – Contractual expenses

Official stamp duties and contract registration costs, as well as all tax duties, present and future, of any nature, shall be borne by the Company.

TITLE V - PRIVACY AND COPYRIGHT

Article 21 – Obligations of the contractor concerning handling of personal data and data protection

The Company undertakes to observe and ensure that its employees, representatives or collaborators observe the criteria and all principles of policy enunciated and fulfill the requirements listed below:

a. The Institute's statement of its privacy policy, available on http://www.eui.eu/AboutTheWebsite/DataProtection.aspx, concerning the handling of personal and sensitive data, as well as secrecy relating to all economic, financial, assets-related, statistical, personal data and/or data of any other kind, relative to the Contracting Authority's activities, which Company employees, representatives or collaborators may become aware of during the execution of the contract. The full text of the rules may be requested of the Contracting Authority. In no case shall the collection and unauthorized dissemination of the above-mentioned data be allowed, on pain of termination of the contract and the application of penalties for the damages caused by such improper use of data.

b. Signature of the ***Contractor's commitment to observe the obligations concerning handling of personal data and data protection, with special reference to the system administrator*** as concerns the supply of those services which require the provision and the use, exclusively for work purposes, of a user account and mailbox to people working for the same contractor.

   The Company shall read and ensure that its service staff **are informed about and sign** the following Policies:

   - Policy on the provision of EUI user accounts to the staff of the external contractor;

   - Policy on the provision of EUI electronic mailboxes to the staff of the external contractor (when deemed necessary).

   The personnel concerned is obliged to sign the general conditions governing the provision and use of the user account and mailbox enunciated in the aforementioned policies before receiving a user account and a mailbox.

c. The respect of the set of policies which make up the EUI IT Acceptable Use Policy, which may be consulted on the EUI web page European University Institute - User Responsibilities - Acceptable Use Policy (AUP) which regulate the use of the EUI IT systems and infrastructure.

Article 22 – Patents and copyright

The Contracting Authority accepts no liability should the Company make use of devices and/or technical solutions patented or registered by others in the course of the implementation of the tender.
The Company undertakes to relieve the Contracting Authority of any liability in case of any kind of claim, charge, or lawsuit by anyone, including claims for loss or damage lodged by any person(s), as well as any charge for expenses incurred, in relation to breach of copyright laws.
Each party undertakes to immediately advise the other of any claim or action on the part of third parties in relation to disputes of the above-mentioned type, as soon as it learns of it.

Article 23 – Technical and commercial secrecy

The Company must declare which, if any, of the information elements provided in the context of the offer submitted are technical or commercial secrets, therefore to be considered confidential.
The Technical specifications shall be considered confidential by the Company.

TITLE VI - FINAL PROVISIONS

Article 24 – Mediation

Any disputes or controversies between the Company and the Contracting Authority regarding the interpretation and correct implementation of contractual terms that cannot be solved by direct agreement between the parties shall be submitted, within ten days, to an *ad hoc* and jointly designated Mediator.
The Mediator's duties shall be to conduct an effective, impartial and competent mediation, regardless of his profession or title in the Member State concerned, and regardless of the manner in which he is appointed or invited to conduct the mediation. The Mediator shall issue a decision within 5 working days.
The Mediator shall abide by the European Code of Conduct for Mediators.
Should the Mediator's proposed settlement be considered unsatisfactory, the parties to the dispute may – within four weeks – activate the Arbitration procedure envisaged in the following Article.
The costs of the mediation procedure shall be borne by the parties.

Article 25 – Arbitration

To begin an arbitration procedure, each of the parties shall appoint an Arbitrator and the two persons thus designated shall appoint a third Arbitrator.
The Arbitration Body's decisions are taken by majority.
Costs of Arbitration shall be borne by the party that loses the case.

Article 26 – Tender documentation and further information

These Tender Specifications include 74 pages, 8 Annexes and 8 appendices all of which are integral components of the Tender Specifications, which the Company approves and accepts by signing the document.

Annexes:
Annex I – Declaration concerning exclusion criteria
Annex II – Declaration concerning the clause on disputes and arbitration
Annex III – Economic offer
Annex IV – Functional requirements
Annex V – Additional technical questions
Annex VI – Vacation days
Annex VII – External contractor staff policy
Annex VIII – Evaluation criteria

Signed in acceptance by the Legal Representative

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Appendices:
Appendix I – Medical insurance module (screenshots and report)
Appendix II – Online applications at the EUI
Appendix III – Registration documents
Appendix IV – Mission request form
Appendix V – EUI Conferring ceremony
Appendix VI – Data presented to CPR
Appendix VII – Events DB schema
Appendix VIII – Anagenesis ER diagram

The text and all documents relating to the tender can be accessed under the heading "Tenders" on the website:
www.eui.eu/About/Tenders.aspx

Further information and assistance on the tender documentation can be requested exclusively by fax at +39 055 4685205 or by e-mail sent to EUI.TenderB@EUI.eu no later than 12 noon on Monday 18 June 2012. If queries are received in a timely manner, replies will be published on the website shown above.
Information published on the website of the Institute shall be considered notification to all bidding Companies.

Signed in acceptance by the Legal Representative

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